

Privacy Impact Assessment / VISTA/ Richmond VAMC

PRIVACY IMPACT ASSESSMENT 2008

INTRODUCTION:

Congress passed the E-Government Act of 2002 to encourage the use of Web-based Internet applications or other information technology by Government agencies, with the intention of enhancing access to government information and services and increasing the effectiveness, efficiency, and quality of government operations.

To combat public concerns regarding the disclosure of private information, the E-Government Act mandated various measures, including the requirement that Federal agencies conduct a Privacy Impact Assessment (PIA) for projects with information technology systems that collect, maintain, and/or disseminate "personally identifiable information" of the public. Personally identifiable information, or "personal information," is information that may be used to identify a specific person. Appendix A, "Applicable Legal and Regulatory Requirements" summarizes the applicable legal and regulatory requirements that are addressed by the PIA process.

Update regarding PIV projects: Federal Information Processing Standards Publication (FIPS PUB) 201 Personal Identity Verification (PIV) of Federal Employees and Contractors and subsequent OMB guidance explicitly require PIAs for PIV projects collecting any personal data, not just of the public.

Primary Privacy Impact Assessment objectives include:

- o Ensure and promote the trust and confidence of Veterans and the general public.*
- o Ensure compliance with the eGov Act and other applicable privacy laws, regulations and policies, including the PIV regulations.*
- o Identify the risks and adverse effects of collecting, maintaining and disseminating personal information in electronic information systems.*
- o Evaluate and develop protections and alternative processes for handling information to mitigate potential privacy risks.*

Additional important objectives include:

- o Provide a mechanism for ensuring responsibility and accountability for privacy issues.*
- o Provide documented assurance that privacy, security and other vital data stewardship considerations are integrated into information technology systems, starting with the initial outlining of a project's objectives and data usage requirements and continuing through design, operation, maintenance and disposal.*
- o Ensure that decision-makers are provided the information required to make informed system design or procurement decisions, based on an understanding of privacy risk, and of options available for mitigating that risk.*
- o Greatly reduce the risk of needing to interrupt a program or service because privacy and other vital data stewardship considerations were not adequately addressed before the program or service was implemented.*
- o Promote awareness and understanding of privacy issues.*
- o Provide valuable documentation on the flow of personal information, and related privacy considerations and design decisions.*

Completion of this PIA Form:

o Part I (Sections 1 and 2) of this form must be completed for all projects. Part I documents basic project information and establish whether a full PIA is required.

o This entire PIA Form (Parts I and II) must be completed/updated every year for all projects with information technology (IT) systems that collect, maintain, and/or disseminate "personally identifiable information" information that may be used to identify a specific person of the public, OR is a PIV project.

Important Note: While this form provides detailed instructions for completing a Privacy Impact Assessment for your project, support documents that provide additional guidance are available on the OCIS Portal (VA network access required).

Part I. Project Identification and Determination of PIA Requirement

1. PROJECT IDENTIFICATION:

1.1) Project Basic Information:

1.1.a) Project or Application Name:

VistA Legacy

1.1.b) OMB Unique Project Identifier:

029-00-01-11-01-1180-00

1.1.c) Concise Project Description

Provide a concise description of the project. Your response will be automatically limited to approximately 200 words, and should provide a basic understanding of the project, and its most essential elements. (If applicable, use of personal data is to be described in Section 3.)

The Richmond VA Medical Center VistA-Legacy system is the software platform and hardware infrastructure (associated with clinical operations) on which the VHA health care facilities operate their software applications and support for E-government initiatives. It includes the computer equipment associated with clinical operations and the employees (3 FTE) necessary to operate the system. VistA-Legacy is a client-server system. It links the facility computer network to over 100 applications and databases across the nation. It supports the Salem VA Medical Center. VistA provides critical data that supports the delivery of healthcare to veterans and their dependants. The VistA Legacy system is in the mature phase of the capital investment lifecycle.

1.1.d) Additional Project Information (Optional)

The project description provided above should be a concise, stand-alone description of the project. Use this section to provide any important, supporting details.

1.2) Contact Information:

1.2.a) Person completing this document:

Title: Sue S. Latta, Information Security Officer

Organization: Richmond VAMC, Richmond, VA 23249

Telephone Number: 804-675-5619	
Email Address: sue.latta@va.gov	
1.2.b) Project Manager: Michael Lay	
Title: OI&T Region 3 CIO	
Organization: Dept. of Veterans Affairs	
Telephone Number: (734) 222-4333	
Email Address: Michael.lay@va.gov	
1.2.c) Staff Contact Person: Alison Faulk	
Title: Privacy Officer	
Organization: Richmond VAMC, Richmond, VA 23249	
Telephone Number: 804-675-5265	
Email Address: Alison.faulk@va.gov	

ADDITIONAL INFORMATION: If appropriate, provide explanation for limited answers, such as the development stage of project.

		SECTION INCOMPLETE
	x	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 1 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	Yes	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit

		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

2. DETERMINATION OF PIA REQUIREMENTS:		
<p>A privacy impact assessment (PIA) is required for all VA projects with IT systems that collect, maintain, and/or disseminate personally identifiable information (PII) of the public, not including information of Federal employees and others performing work for VA (such as contractors, interns, volunteers, etc.), unless it is a PIV project. All PIV projects collecting any PII must complete a PIA. PII is any representation of information that permits the identity of an individual to be reasonably inferred by either direct or indirect means. Direct references include: name, address, social security number, telephone number, email address, financial information, or other identifying number or code. Indirect references are any information by which an agency intends to identify specific individuals in conjunction with other data elements. Examples of indirect references include a combination of gender, race, birth date, geographic indicator and other descriptors.</p>		
2.a) Will the project collect and/or maintain personally identifiable information in IT systems?		
Yes		
2. b) Is this a PIV project collecting PII, including from Federal employees, contractors, and others performing work for VA?		
No		
<p>If "YES" to either question then a PIA is required for this project. Complete the remaining questions on this form. If "NO" to both questions then no PIA is required for this project. Skip to section 13 and affirm.</p>		
2.c) Has a previous PIA been completed within the last three years?		
no		
2.d) Has any changes been made to the system since last PIA?		
no		
<p>ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)</p>		
		SECTION INCOMPLETE
	x	SECTION COMPLETED

		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 2 Review:		
		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	yes	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date
PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)		
Alison Faulk, Privacy Officer, 804-675-5265		

Part II. Privacy Impact Assessment

3. PROJECT DESCRIPTION:
<i>The purpose of NIST SP 800-60 is to address recommending the types of information and information systems to be included in each category of potential security impact. Using NIST SP800-60, enter the information requested to describe the project.</i>
3.a) Provide a concise description of why personal information is maintained for this project, such as determining eligibility for benefits or providing patient care.
All information is necessary in order to provide congressionally mandated health care for Veterans.
3.b) What specific legal authorities authorize this project, and the associated collection, use, and/or retention of personal information?
Title 38, United States Code, section 7301(a).
3.c) Identify, by selecting the appropriate range from the list below, the approximate number of individuals that (will) have their personal information stored in project systems.
1,000,000 – 9,000,000
3.d) Identify what stage the project/system is in: (1) Design/Planning, (2) Development/Implementation, (3) Operation/Maintenance, (4) Disposal, or (5) Mixed Stages.
(3) Operation/Maintenance

3.e) Identify either the approximate date (MM/YYYY) the project/system will be operational (if in the design or development stage), or the approximate number of years that the project/system has been in operation.

Operational Now – Approx 27 years

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	Yes	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and hit submit and then select "Yes" and hit submit.
		Section Update Date

Section 3 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	yes	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

4. SYSTEM OF RECORDS:

The Privacy Act of 1974 (Section 552a of Title 5 of the United States Code) and VA policy provide privacy protections for employee or customer information that VA or its suppliers maintain in a System of Records (SOR). A SOR is a file or application from which personal information is retrieved by an identifier (e.g. name, unique number or symbol). Data maintained in a SOR must be managed in accordance with the requirements of the Privacy Act and the specific provisions of the applicable SOR Notice. Each SOR Notice is to be published in the Federal Register. See VA Handbook 6300.5 "Procedures for Establishing & Managing Privacy Act Systems Of Records", for additional information regarding Systems of Records.

4.a) Will the project or application retrieve personal information on the basis of name, unique number, symbol, or other identifier assigned to the individual?
If "No" then skip to section 5, 'Data Collection'.
Yes
4.b) Are the project and/or system data maintained under one or more approved System(s) of Records?
IF "No" then SKIP to question 4.c.
Yes
4.b.1) For each applicable System of Records, list:
(1) The System of Records identifier (number),
79VA19
(2) The name of the System of Records, and
VistA-VA
(3) Provide the location where the specific applicable System of Records Notice(s) may be accessed (include the URL).
http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm
IMPORTANT: For each applicable System of Records Notice that is not accessible via a URL: (1) Provide a concise explanation of why the System of Records Notice is not accessible via a URL in the "Additional Information" field at the end of this section, and (2) Send a copy of the System of Records Notice(s) to the Privacy Service.
4.b.2) Have you read, and will the application comply with, all data management practices in the System of Records Notice(s)?
Yes
4.b.3) Was the System(s) of Records created specifically for this project, or created for another project or system?
Created specifically for this project
If created for another project or system, briefly identify the other project or system.
4.b.4) Does the System of Records Notice require modification?
If "No" then skip to section 5, 'Data Collection'.
No
4.b.5) Describe the required modifications.
Modification of the System of Records is NOT required.
4.c) If the project and/or system data are not maintained under one or more approved System(s) of Records, select one of the following and provide a concise explanation.
Explanation:
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional

explanation for this section.)

		SECTION INCOMPLETE
	Yes	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update date

Section 4 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	yes	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

5. DATA COLLECTION:

5.1 Data Types and Data Uses

FIPS 199 establishes security categories for both information and information systems. The security categories are based on the potential impact on an organization should certain events occur which jeopardize the information and information systems needed by the organization to accomplish its assigned mission, protect its assets, fulfill its legal responsibilities, maintain its day-to-day functions, and protect individuals. Security categories are to be used in conjunction with vulnerability and threat information in assessing the risk to an organization. Identify the types of personal information collected and the intended use(s) of that data:

a) Select all applicable data types below. If the provided data types do not adequately describe a specific data collection, select the "Other Personal Information" field and provide a description of

the information.

b) For each selected data type, concisely describe how that data will be used.

Important Note: Please be specific. If different data types or data groups will be used for different purposes or multiple purposes, specify. For example: "Name and address information will be used to communicate with individuals about their benefits, while Name, Service, and Dependent's information will be used to determine which benefits individuals will be eligible to receive. Email address will be used to inform individuals about new services as they become available."

YES	Veteran's or Primary Subject's Personal Contact Information (name, address, telephone, etc.)
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Specifically identify the personal information collected, and describe the intended use of the information.

The most common data types that are captured and accessed on a regular basis by authorized individuals are first and last name, middle initial, DOB, SSN, address and telephone. The patient health information falls into two classes: administrative and clinical. Clinical information is used to diagnose, prescribe treatment and follow clinically the patient through his/her health care encounters. Administrative data is used to identify the veteran (SSN), correspond to/from (name and address), to determine eligibility (patient administrative info + SSA and IRS data, and to bill, if applicable.

NO	Other Personal Information of the Veteran or Primary Subject
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Specifically identify the personal information collected, and describe the intended use of the information.

N/A

Yes	Dependent Information
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Specifically identify the personal information collected, and describe the intended use of the information.

Spouse employment information, next of Kin contact information to be used in case of emergency

Yes	Service Information
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Specifically identify the personal information collected, and describe the intended use of the

information.

Military Service Information (Branch of service, discharge date, discharge type, service connection rating, medical conditions related to military service, etc.) This information is collected to assess eligibility for VA healthcare benefits, type of healthcare needed.

YES **Medical Information**

Specifically identify the personal information collected, and describe the intended use of the information.

VistA-Legacy applications meet a wide range of health care needs and operates at Richmond VA Medical Center and Fredericksburg, VA Community Based Outpatient Clinic. The VistA-Legacy system collects a wide range of personal medical information for clinical diagnosis, treatment, patient evaluation, and patient care. Common types of personal medical information would include lab test results, prescriptions, allergies, medial diagnoses, vital signs, etc. The information is used to treat and care for the veteran patient. Clinical information from VA and DoD is used in the diagnosis and treatment of the veteran.

No **Criminal Record Information**

Specifically identify the personal information collected, and describe the intended use of the information.

YES **Guardian Information**

Specifically identify the personal information collected, and describe the intended use of the information.

Next of kin, DNR instructions, health care proxy designation. This information is used in the notification process and as required for medial decisions.

YES **Education Information**

Specifically identify the personal information collected, and describe the intended use of the information.

Highest grade completed. Degree as applicable to Social and/or Personal History in treatment records, specifically in MH, C&P exams and registry claims.

☐

Rehabilitation Information

Specifically identify the personal information collected, and describe the intended use of the information.

Treatment notes, progress notes, clinical assessments, clinical diagnosis information is collected. Used in follow-up treatment and as part of the medical history.

☐

Other Personal Information (specify):

The "Other Personal Information" field is intended to allow identification of collected personal information that does not fit the provided categories. If personal information is collected that does not fit one of the provided categories, specifically identify this information and describe the intended use of the information.

Next-of-kin information and emergency contact information, such as name and telephone number, is collected from the veteran to use to contact other individuals in case of an emergency. In addition, insurance and employment information is available on the veteran for use in billing for care.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.1 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.

		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)	
Alison Faulk, Privacy Officer, 804-675-5265	

5.2 Data Sources

Identify the source(s) of the collected information.

a) Select all applicable data source categories provided below.

b) For each category selected:

i) Specifically identify the source(s) - identify each specific organization, agency or other entity that is a source of personal information. ii) Provide a concise description of why information is collected from that source(s). iii) Provide any required additional clarifying information.

Your responses should clearly identify each source of personal information, and explain why information is obtained from each identified source. (Important Note: This section addresses sources of personal information; Section 6.1, "User Access and Data Sharing" addresses sharing of collected personal information.)

Note: PIV projects should use the "Other Source(s)" data source.

YES	Veteran Source
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Provide a concise description of why information is collected from Veterans. Provide any required additional, clarifying information.

Data used to identify the veteran, determine eligibility for care, schedule treatment and manage the provided care.

NO	Public Source(s)
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N/A

i) Specifically identify the Public Source(s) - identify the specific organization(s) or other entity(ies) that supply personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.

YES	VA Files and Databases
<i>i) Specifically identify each VA File and/or Database that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.</i>	
For VistA-Legacy, Patient Treatment File is used to store and make inquiries of personally identifiable information about the veteran, previous clinical records, clinical information, drug information as needed to provide treatment and reimbursement.	
YES	Other Federal Agency Source(s)
<i>i) Specifically identify each Federal Agency that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.</i>	
IRS, SSA, DoD data used for income verification to determine if third party collection is possible. Also used in determining eligibility for care.	
NO	State Agency Source(s)
<i>i) Specifically identify each State Agency that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.</i>	
N/A	
YES	Local Agency Source(s)
<i>i) Specifically identify each Local Agency (Government agency other than a Federal or State agency) that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.</i>	
County Coroner offices for date of death, death certificate and circumstances.	
NO	Other Source(s)
N/A	
<i>i) If the provided Data Source categories do not adequately describe a source of personal information, specifically identify and describe each additional source of personal information. ii) For each identified data source, provide a concise description of why information is collected from</i>	

that source. iii) Provide any required additional, clarifying information.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.2 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

5.3 Collection Methods

Identify and describe how personal information is collected:

a) Select all applicable collection methods below. If the provided collection methods do not adequately describe a specific data collection, select the "Other Collection Method" field and provide a description of the collection method. b) For each collection method selected, briefly describe the collection method, and provide additional information as indicated.

Yes	Web Forms:	Information collected on Web Forms and sent electronically over the Internet to project systems.
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Identify the URL(s) of each Web site(s) from which information will be submitted, and the URL(s) of the associated privacy statement. (Note: This question only applies to Web forms that are submitted online. Forms that are accessed online, printed and then mailed or faxed are considered "Paper Forms.")

The web form is located at <https://www.1010EZ.med.va.gov/sec/vah/1010EZ>. This site from which this form is accessed (<http://www.va.gov/>) references the VA Privacy and Security site. (<http://www.va.gov/privacy/>), as well as the VA Disclaimer site (<http://www.va.gov/disclaim.htm>) and the VA FOIA site (<http://vaww.va.gov/OIT/CIO/FOIA/default.asp>)

YES	Paper Forms:	Information collected on Paper Forms and submitted personally, submitted via Postal Mail and/or submitted via Fax Machine.
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Identify and/or describe the paper forms by which data is collected. If applicable, identify standard VA forms by form number.

VA Form 1010EZ

NO	Electronic File Transfer:	Information stored on one computer/system (not entered via a Web Form) and transferred electronically to project IT systems.
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N/A

Describe the Electronic File Transfers used to collect information into project systems. (Note: This section addresses only data collection – how information stored in project systems is acquired. Sharing of information stored in project systems and data backups are addressed in subsequent sections.)

NO	Computer Transfer Device:	Information that is entered and/or stored on one computer/ system and then transferred to project IT systems via an object or device that is used to store data, such as a CD-ROM, floppy disk or tape.
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N/A

Describe the type of computer transfer device, and the process used to collect information.

YES	Telephone Contact:	Information is collected via telephone.
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Describe the process through which information is collected via telephone contacts.

Veterans answer questions posed over phone to collect Form 1010EZ data.

NO	Other Collection Method:	Information is collected through a method other than those listed above.
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N/A

If the provided collection method categories do not adequately describe a specific data collection, select the "Other Collection Method" field and specifically identify and describe the process used to collect information.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.3 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

5.4 Notice

The Privacy Act of 1974 and VA policy requires that certain disclosures be made to data subjects when information in identifiable form is collected from them. The following questions are directed at notice to the individual of the scope of information collected, the right to consent to uses of said information, and the right to decline to provide information.

5.4.a) *Is personally identifiable information collected directly from individual members of the public and maintained in the project's IT systems?*

YES

Note: If you have selected NO above, then SKIP to Section 5.5, 'Consent'.

5.4.b) *Is the data collection mandatory or voluntary?*

Mandatory

5.4.c) *How are the individuals involved in the information collection notified of the Privacy Policy and whether provision of the information is mandatory or voluntary?*

1010EZ; VA Notice of Privacy Policies

5.4.d) *Is the data collection new or ongoing?*

Ongoing

5.4.e.1) *If personally identifiable information is collected online, is a privacy notice provided that includes the following elements? (Select all applicable boxes.)*

NO	Not applicable
NO	Privacy notice is provided on each page of the application.
YES	A link to the VA Website Privacy Policy is provided.
YES	Proximity and Timing: the notice is provided at the time and point of data collection.
YES	Purpose: notice describes the principal purpose(s) for which the information will be used.
YES	Authority: notice specifies the legal authority that allows the information to be collected.
YES	Conditions: notice specifies if providing information is voluntary, and effects, if any, of not providing it.
YES	Disclosures: notice specifies routine use(s) that may be made of the information.

5.4.e.2) *If necessary, provide an explanation on privacy notices for your project:*

Privacy notices are provided to patients on all VA form 1010s. The privacy is also available on MyHealthyVet website. All registered patients received privacy/HIPAA notice at the time when HIPAA was implemented in 2004.

5.4.f) *For each type of collection method used (identified in Section 5.3, "Collection Method"), explain:*

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

Note: if PII is transferred from other projects, explain any agreements or understandings

regarding notification of subjects.

☐ YES **Web Forms:**

Explain:

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

Patients are allowed to download Form 1010 which contains privacy information concerning each of the data fields they are required to enter. The form may be submitted on line. Once received by the Health Benefits Department the form is printed and mailed to the patient for signature.

☐ YES **Paper Forms:**

Explain:

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

Patients fill out required fields of information on Form 1010 and an explanation of privacy policy is provided on the 1010 form.

☐ NO **Electronic File Transfer:**

For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to notify subjects regarding:

a) What they will be told about the information collection? b) How the message will be conveyed (e.g. written notice, electronic notice if web-based collection, etc.)? c)How a privacy notice is provided?

☐ NO **Computer Transfer Device:**

For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to notify subjects regarding:

a) What they will be told about the information collection? b) How the message will be conveyed (e.g. written notice, electronic notice if web-based collection, etc.)? c)How a privacy notice is provided?

N/A

YES

Telephone:

Explain:

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

Information is obtained over telephone interview and patients are provided with a consent form to sign and return.

NO

Other Method:

Explain:

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.4 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and

		submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

5.5 Consent For Secondary Use of PII:	
<p>The Privacy Act and VA policy require that personally identifiable information only be used for the purpose(s) for which it was collected, unless consent (opt-in) is granted. Individuals must be provided an opportunity to provide consent for any secondary use of information, such as use of collected information for marketing.</p>	
5.5.a) Will personally identifiable information be used for any secondary purpose?	
Note: If you have selected No above, then SKIP to question 5.6, "Data Quality."	
NO	
5.5.b) Describe and justify any secondary uses of personal information.	
N/A	
5.5.c) For each collection method identified in question 5.3, "Collection Method," describe:	
<p>1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.</p>	
<p>Some examples of consent methods are: (1) Approved OMB consent forms and (2) VA Consent Form (VA Form 1010EZ). Provide justification if no method of consent is provided.</p>	
y/n?	Web Forms:
Describe:	
<p>1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.</p>	
y/n?	Paper Forms:
Describe:	
<p>1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.</p>	

y/n?	Electronic File Transfer:
<p><i>For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to provide the following:</i></p> <p><i>a) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. b) The opportunities individuals have to grant consent for particular uses of the information. c) How individuals may grant consent.</i></p>	
y/n?	Computer Transfer Device:
<p><i>For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to provide the following:</i></p> <p><i>a) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. b) The opportunities individuals have to grant consent for particular uses of the information. c) How individuals may grant consent.</i></p>	
y/n?	Telephone Contact Media:
<p><i>Describe:</i></p> <p><i>1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.</i></p>	
y/n?	Other Media
<p><i>Describe:</i></p> <p><i>1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.</i></p>	
<p>ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)</p>	

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.5 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

5.6 Data Quality

5.6.a) Explain how collected data are limited to required elements:

Collected data is entered into the system based on the Health Benefits Form VA form 10-10). Information entered is based on the veterans' responses to the required VA form 10-10

5.6.b) How is data checked for completeness?

Income verification is performed for exempt patients and GMT patient through Atlanta, GA. Demographic information is verified by patient signature on the 10-10 form and by staff verification of patient identification cards, i.e. driver licenses. By signing the 1010 form patients are verifying that information provided is true and may face federal penalties if false statements are made.

5.6.c) What steps or procedures are taken to ensure the data are current and not out of date?

Clinical data is not removed. Administrative data is updated with each application for care.

5.6.d) How is new data verified for relevance, authenticity and accuracy?

New data is compared with printed form or via patient verification. By signing the 1010 form patients are verifying that information provided is true and may face federal penalties if false statements are made.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 5.6 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

6. Use and Disclosure

6.1 User Access and Data Sharing

Identify the individuals and organizations that have access to system data.

--> *Individuals - Access granted to individuals should be limited to the data needed to perform their assigned duties. Individuals with access to personal information stored in project system must be identified, and documented assurance must be provided that appropriate policies and procedures are in place to prevent as well as detect unauthorized access and browsing.*

--> *Other Agencies – Any Federal, State or local agencies that have authorized access to collected personal information must be identified, and documented assurance must be provided that appropriate policies and procedures are in place to protect personal information.*

--> *Other Systems – Information systems of other programs or projects that interface with the*

information system(s) of this project must be identified and the transferred data must be defined. Also, the controls that are in place to ensure that only the defined data are transmitted must be defined.

6.1.a) Identify all individuals and organizations that will have access to collected information. Select all applicable items below.

☒ **System Users**

Facility Name: Richmond VAMC employees, students and volunteers

☐ **System Owner, Project Manager**

N/A

☒ **System Administrator**

VistA System Administrator and VistA IT Specialists

☒ **Contractor**

If contractors to VA have access to the system, describe their role and the extent of access that is granted to them. Also, identify the contract(s) that they operate under.

Contract Billers and Coders, Contract Physicians and other clinical providers providing specialty care. All VA contractors are required to take the privacy and cyber training and have varied degrees of access based on their background check and level of security, as is applicable to the VA employees.

☒ **Internal Sharing: Veteran Organization**

VBA/Regional Office: treatment and demographic for benefits determination. Regional Council: Tort Claims, legal processes.

If information is shared internally, with other VA organizations identify the organization(s). For each organization, identify the information that is shared and for what purpose.

☐ **Other Veteran Organization**

If information is shared with a Veteran organization other than VA, identify the organization(s). For each organization, identify the information that is shared and for what purpose.

☒ **Other Federal Government Agency**

There is certain VA patient data that is shared with DoD through the information exchange program. In addition, certain clinical data is shared with CDC as is certain data shared with HHS

and SSA.

If information is shared with another Federal government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.

☐ NO **State Government Agency**

If information is shared with a State government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.

☐ YES **Local Government Agency**

Coroner's Office for completion of death certificates, department of transportation for handicap verification, dept of family services, CDC.

If information is shared with a local government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.

☐ YES **Other Project/ System**

If information is shared with other projects or systems:

1) Identify the other projects and/or systems, and briefly describe the data sharing. 2) For each project and/or system with which information will be shared, identify the information that will be shared with that project or system. 3) For each project and/or system with which information will be shared, describe why information is shared. 4) For each project and/or system with which information will be shared, describe who will be responsible for protecting the privacy rights of the individuals whose data will be shared across this interface.

There is certain VHA VistA patient data that is shared with DoD through the Federal/Bidirectional Health Information Exchange (FHIE/BHIE) Program under DUAs that have been in effect for over 3 years. In addition, certain clinical information is being shared with CDC, also under an established DUA.

☐ NO **Other User(s)**

If information is shared with persons or organization(s) that are not described by the categories provided, use this field to identify and describe what other persons or organization(s) have access to personal information stored on project systems. Also, briefly describe the data sharing.

6.1.a.1) Describe here who has access to personal information maintained in project's IT systems:

Clinical and administrative staff involved in the provision of care.
<i>6.1.b) How is access to the data determined?</i>
On a need to know basis.
<i>6.1.c) Are criteria, procedures, controls, and responsibilities regarding access documented? If so, identify the documents.</i>
Yes - VHA1605.1 and VHA 1605.2 VA HANDBOOKS
<i>6.1.d) Will users have access to all data on the project systems or will user access be restricted? Explain.</i>
User access will be restricted.
<i>6.1.e) What controls are in place to prevent the misuse (e.g. unauthorized browsing) of data by those having access? (Please list processes and training materials that specifically relate to unauthorized browsing)</i>
Rules of Behavior, Sensitive Access reviews, auto-generated programmer mode notifications. Yearly Cyber Security and Privacy Policy training requirements. Quarterly menu reviews.
<i>6.1.f) Is personal information shared (is access provided to anyone other than the system users, system owner, Project Manager, System Administrator)? (Yes/No)</i>
Yes (contractors are considered system users)
Note: If you have selected No above, then SKIP to question 6.2, "Access to Records and Requests for Corrections".
<i>6.1.g) Identify the measures taken to protect the privacy rights of the individuals whose data will be shared.</i>
Users must sign the Rules of Behavior and complete annual privacy and cybersecurity training.
<i>6.1.h) Identify who is responsible, once personal information leaves your project's IT system(s), for ensuring that the information is protected.</i>
The user is responsible for ensuring information is protected. The supervisor is responsible for oversight of employees under supervisor's purview. The ISO and PO ensure awareness for policy and procedure.
<i>6.1.i) Describe how personal information that is shared is transmitted or disclosed.</i>
Personal information must not be submitted outside of the covered entity without proper protections. This includes but is not limited to encrypted email.
<i>6.1.j) Is a Memorandum of Understanding (MOU), contract, or any other agreement in place with all external organizations with whom information is shared, and does the agreement reflect the scope of the information currently shared? If an MOU is not in place, is the sharing covered by a routine use in the System of Records Notice? If not, explain the steps being taken to address this omission.</i>
If there is shared information, a BAA is needed.
<i>6.1.k) How is the shared information secured by the recipient?</i>
Information is secured on encrypted media.
<i>6.1.l) What type of training is required for users from agencies outside VA prior to receiving access to the information?</i>
Users from outside agencies must complete privacy and cyber security training annually.
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional

explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 6.1 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
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		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

6.2 Access to Records and Requests for Corrections

The Privacy Act and VA policy provide certain rights and mechanisms by which individuals may request access to and amendment of information relating to them that is retained in a System of Records.

6.2.a) How can individuals view instructions for accessing or amending data related to them that is maintained by VA? (Select all applicable options below.)

YES	The application will provide a link that leads to their information.
NO	The application will provide, via link or where data is collected, written instructions on how to access/amend their information.
YES	The application will provide a phone number of a VA representative who will provide instructions.
YES	The application will use other method (explain below).

NO	The application is exempt from needing to provide access.
----	--

6.2.b) What are the procedures that allow individuals to gain access to their own information?

Individuals may either visit the VAMC where they receive their care and begin the process or may visit the Freedom of Information Act (FOIA) Website for VA at <http://www.va.gov/oit/cio/foia/guide.asp#how> or may go through VA Forms at <http://www.va.gov/vaforms/medical/pdf/vha-10-5345-fill.pdf> . Further information regarding the VA SOR is available at http://www.va.gov/privacy/SystemsOfRecords/2001_Privacy_Act_GPO_SOR_compilation.pdf.

6.2.c) What are the procedures for correcting erroneous information?

Individuals may either visit the VAMC where they receive their care and begin the process or may visit the Freedom of Information Act (FOIA) Website for VA at <http://www.va.gov/oit/cio/foia/guide.asp#how> or may go through VA Forms at <http://www.va.gov/vaforms/medical/pdf/vha-10-5345-fill.pdf> . Further information regarding the VA SOR is available at http://www.va.gov/privacy/SystemsOfRecords/2001_Privacy_Act_GPO_SOR_compilation.pdf.

6.2.d) If no redress is provided, are alternatives available?

6.2.e) Provide here any additional explanation; if exempt, explain why the application is exempt from providing access and amendment.

The patient is mailed a notice describing the process.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 6.2 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
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		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

7 Retention and Disposal

By completing this section, you provide documented assurance that proper data retention and disposal practices are in place.

The "Retention and disposal" section of the applicable System of Records Notice(s) often provides appropriate and sufficiently detailed documented data retention and disposal practices specific to your project.

VA HBK 6300.1 Records Management Procedures explains the Records Control Schedule procedures.

System of Records Notices may be accessed via:

<http://vaww.vhaco.va.gov//privacy/SystemofRecords.htm>

or

http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html

For VHA projects, VHA Handbook 1907.1 (Section 6j) and VHA Records Control Schedule 10-1 provide more general guidance.

VHA Handbook 1907.1 may be accessed at:

http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=434

For VBA projects, Records Control Schedule (RCS) VB-1 provides more general guidance. VBA Records Control Schedule (RCS) VB-1 may be accessed via the URL listed below.

Start by looking at the <http://www.warms.vba.va.gov/20rcs.html>

7.a) What is the data retention period? Given the purpose of retaining the information, explain why the information is needed for the indicated period.

Clinical information is retained in accordance with VA Records Control Schedule 10-1. Demographic information is updated as applications for care are submitted and retained in accordance with VA Records Control Schedule 10-1.

7.b) What are the procedures for eliminating data at the end of the retention period?

Electronic Final Version of Patient Medical Record is destroyed/deleted 75 years after the last episode of patient care as instructed in VA Records Control Schedule 10-1, Item XLIII, 2.b. (Page 190). At the present time, VistA Imaging retains all images. We are performing a study to explore whether some images can be eliminated on an earlier schedule.

7.c) Where are procedures documented?

VA Handbook 6300; Record Control Schedule 10-1

7.d) How are data retention procedures enforced?

VA Records Control Schedule 10-1 (page 8):
Records Management Responsibilities The Health Information Resources Service (HIRS) is responsible for developing policies and procedures for effective and efficient records management throughout VHA. In addition, HIRS acts as the liaison between VHA and National

Archives and Records Administration (NARA) on issues pertaining to records management practices and procedures. Field records officers are responsible for records management activities at their facilities.

Program officials are responsible for creating, maintaining, protecting, and disposing of records in their program area in accordance with NARA regulations and VA policy. All VHA employees are responsible to ensure that records are created, maintained, protected, and disposed of in accordance with NARA regulations and VA policies and procedures.

Disposition of Records

7.e) If applicable, has the retention schedule been approved by the National Archives and Records Administration (NARA)?

Yes

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 7 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

8 SECURITY

OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, (OMB M-03-22) specifies that privacy impact assessments must address how collected information will be secured.

8.1 General Security Measures

8.1.a) Per OMB guidance, citing requirements of the Federal Information Security Management Act, address the following items (select all applicable boxes.):

YES	The project is following IT security requirements and procedures required by federal law and policy to ensure that information is appropriately secured.
YES	The project has conducted a risk assessment, identified appropriate security controls to protect against that risk, and implemented those controls.
YES	Security monitoring, testing, and evaluating are conducted on a regular basis to ensure that controls continue to work properly, safeguarding the information.

8.1.b) Describe the security monitoring, testing, and evaluating that is conducted on a regular basis:

Certification and Accreditation is ongoing in conjunction with local information security staff. Monitoring includes weekly Environment of Care Inspections, quarterly menu reviews, FISMA security controls.

8.1.c) Is adequate physical security in place to protect against unauthorized access?

Yes

8.2 Project-Specific Security Measures

8.2.a) Provide a specific description of how collected information will be secured.

- A concise description of how data will be protected against unauthorized access, unauthorized modification, and how the availability of the system will be protected.
- A concise description of the administrative controls (Security Plans, Rules of Behavior, Procedures for establishing user accounts, etc.).
- A concise description of the technical controls (Access Controls, Intrusion Detection, etc.) that will be in place to safeguard the information.
- Describe any types of controls that may be in place to ensure that information is used in accordance with the above described uses. For example, are audit logs regularly reviewed to ensure appropriate use of information? Are strict disciplinary programs in place if an individual is found to be inappropriately using the information?

Note: Administrative and technical safeguards must be specific to the system covered by the PIA, rather than an overall description of how the VA's network is secured. Does the project/system have its own security controls, independent of the VA network? If so, describe these controls.

The agency is following IT security requirements as described in the FISMA. IT security is

provided at the project and enterprise levels. IT security measures included the use of passwords, user authentication, physical security controls and configuration management. Enterprise level IT security includes firewalls for intrusion protection, virus protection software, and the implementation of authentication systems. Risk assessments are conducted. VistA last completed a FISMA survey in August 2007. VA OI&T Field Security Service provides regular guidance on IT security issues and interpretation of rules and regulations set by legislation, policy or NIST guidelines. VA OI&T Field Security Service will serve as a point of contact for additional questions or specifics on implementation of security measures.

8.2.b) Explain how the project meets IT security requirements and procedures required by federal law.

At the Department level the CIO's Office, VA OI&T Field Security Service is responsible for the establishment of directives, policies, & procedures which are consistent with the provisions of Federal Information Security Management Act (FISMA) as well as guidance issued by the Office of Management & Budget (OMB), the National Institute of Standards & Technology (NIST), & other requirements that VistA-Legacy is and has been subject to. In addition, VA OI&T Field Security Service administers and manages Department-wide security solutions, such as anti-virus protection, authentication, vulnerability scanning & penetration testing, & intrusion detection systems, and incident response (800-61). At the VistA-Legacy project level -The Project Manager ensures that CIO-provided security directives are integrated into the project's security plan & implemented by VA & contractor staff throughout the project. Funding needs are dependent on IT security requirements identified in the system development life cycle (800-64) (i.e. risk assessments (800-30), certification and accreditation (800-37 and 800-53)), as well as identified security weaknesses that must be corrected.

8.2.c) Explain what security risks were identified in the security risk assessment.

1	AC-13	Access Control	Supervision and Review - Access Control	0	16	0	16
2	AC-17	Access Control	Remote Access	0	1	0	1
3	CP-4	Contingency Planning	Contingency Plan Testing	0	1	0	1
4	IA-2	Identification and Authentication	User Identification and Authentication				

8.2.d) Explain what security controls are being used to mitigate these risks.

Management, Technical, and Operational controls

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 8 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
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		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
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		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

9. CHANGE RECORD
OMB Memorandum M-03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, mandates that PIAs address any project/ system changes that potentially create new privacy risks. By completing this section, you provide documented assurance that significant project/ system modifications have been appropriately evaluated for privacy-related impacts.
9.a Since the last PIA submitted, have any significant changes been made to the system that might impact the privacy of people whose information is retained on project systems? (Yes, No, n/a: first PIA)
NO
If no, then proceed to Section 10, "Children's Online Privacy Protection Act."
If yes, then please complete the information in the table below. List each significant change on a separate row. 'Significant changes' may include:
Conversions - when converting paper-based records to electronic systems;
Anonymous to Non-Anonymous - when functions applied to an existing information collection change anonymous information into information in identifiable form;
Significant System Management Changes - when new uses of an existing IT system, including application of new technologies, significantly change how information in identifiable form is managed in the system:
• For example, when an agency employs new relational database technologies or web-based processing to access multiple data stores; such additions could create a more open environment and avenues for exposure of data that previously did not exist.
Significant Merging - when agencies adopt or alter business processes so that government databases holding information in identifiable form are merged, centralized, matched with other databases or otherwise significantly manipulated:
• For example, when databases are merged to create one central source of information; such a link may aggregate data in ways that create privacy concerns not previously at issue.
New Public Access - when user-authenticating technology (e.g., password, digital certificate, biometric) is newly applied to an electronic information system accessed by members of the public;
Commercial Sources - when agencies systematically incorporate into existing information systems databases of information in identifiable form purchased or obtained from commercial or

public sources. (Merely querying such a source on an ad hoc basis using existing technology does not trigger the PIA requirement);

New Interagency Uses - when agencies work together on shared functions involving significant new uses or exchanges of information in identifiable form, such as the cross-cutting E-Government initiatives; in such cases, the lead agency should prepare the PIA;

Internal Flow or Collection - when alteration of a business process results in significant new uses or disclosures of information or incorporation into the system of additional items of information in identifiable form:

• *For example, agencies that participate in E-Gov initiatives could see major changes in how they conduct business internally or collect information, as a result of new business processes or E-Gov requirements. In most cases the focus will be on integration of common processes and supporting data. Any business change that results in substantial new requirements for information in identifiable form could warrant examination of privacy issues.*

Alteration in Character of Data - when new information in identifiable form added to a collection raises the risks to personal privacy (for example, the addition of health or financial information);

List All Major Project/System Modification(s)	State Justification for Modification(s)	*Concisely describe:	Modification Approver	Date

* The effect of the modification on the privacy of collected personal information

* How any adverse effects on the privacy of collected information were mitigated.

		SECTION INCOMPLETE
	YES	SECTION COMPLETE
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 9 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.

		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
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		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

10. CHILDREN'S ONLINE PRIVACY PROTECTION ACT		
10.a) Will information be collected through the Internet from children under age 13?		
NO		
If "No" then SKIP to Section 11, "PIA Considerations".		
10.b) How will parental or guardian approval be obtained.		
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)		

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 10 Review:		
		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit

		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

11. PIA Assessment		
<p>11a) Identify what choices were made regarding the project/system or collection of information as a result of performing the PIA. Examples of choices made include reconsideration of: collection source, collection methods, controls to mitigate misuse of information, provision of consent and privacy notice, and security controls.</p> <p>VistA is a national level program and is governed by existing policies and procedures. Quarterly menu reviews, sensitive data inventory, Release of Information forms, ensuring least privilege or minimum standard necessary as required by HIPAA. Natl VA privacy & security policies are followed.</p>		
<p>11b) What auditing measures and technical safeguards are in place to prevent misuse of data?</p> <p>Quarterly review of menus, Sensitive Access reviews, access granted only to what is needed to perform the duties of the position assigned.</p>		
<p>11c) Availability assessment: If the data being collected is not available to process for any reason what will the potential impact be upon the system or organization?</p>		
YES	y/n?	The potential impact is <u>high</u> if the loss of availability could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.
	y/n?	The potential impact is <u>moderate</u> if the loss of availability could be expected to have a serious adverse effect on operations, assets, or individuals.
	y/n?	The potential impact is <u>low</u> if the loss of availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
<p>11d) Integrity assessment: If the data being collected has been corrupted for any reason what will the potential impact be upon the system or organization?</p>		
YES	y/n?	The potential impact is <u>high</u> if the loss of integrity could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.
	y/n?	The potential impact is <u>moderate</u> if the loss of integrity could be expected to have a serious adverse effect on operations, assets, or individuals.
	y/n?	The potential impact is <u>low</u> if the loss of integrity could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
<p>11e) Confidentiality assessment: If the data being collected has been shared with unauthorized individuals what will the potential impact be upon the system or organization?</p>		
YES	y/n?	The potential impact is <u>high</u> if the loss of confidentiality could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.

	y/n?	The potential impact is <u>moderate</u> if the loss of confidentiality could be expected to have a serious adverse effect on operations, assets, or individuals.
	y/n?	The potential impact is <u>low</u> if the loss of confidentiality could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
11f) What was the highest impact from questions 11c, 11d, and 11e?		
HIGH		
11g) What controls are being considered for this impact level?		
MANAGEMENT, OPERATIONAL and TECHNICAL Controls. Controls conform to NIST 800-53 for high impact systems.		
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)		

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 11 Review:		
		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date
PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)		
Alison Faulk, Privacy Officer, 804-675-5265		

12. PUBLIC AVAILABILITY

The Electronic Government Act of 2002 requires that VA make this PIA available to the public. This section is intended to provide documented assurance that the PIA is reviewed for any potentially sensitive information that should be removed from the version of the PIA that is made available to the public.

The following guidance is excerpted from M-03-22, "OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002," Section II.C.3, "Review and Publication": iii. Agencies must ensure that the PIA document and, if prepared, summary, are made publicly available (consistent with executive branch policy on the release of information about systems for which funding is proposed).

1. Agencies may determine to not make the PIA document or summary publicly available to the extent that publication would raise security concerns, reveal classified (i.e., national security) information or sensitive information (e.g., potentially damaging to a national interest, law enforcement effort or competitive business interest) contained in an assessment⁹. Such information shall be protected and handled consistent with the Freedom of Information Act (FOIA).

2. Agencies should not include information in identifiable form in their privacy impact assessments, as there is no need for the PIA to include such information. Thus, agencies may not seek to avoid making the PIA publicly available on these grounds.

12.a) Does this PIA contain any sensitive information that could cause harm to the Department of Veterans Affairs or any party if disclosed to the public?

NO

12.b) If yes, specify:

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 12 Review:

		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.

	YES	The Privacy Service has reviewed and approved the responses in this section.
**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265

13. ACCEPTANCE OF RESPONSIBILITY AND ACKNOWLEDGEMENT OF ACCOUNTABILITY:		
13.1) I have carefully reviewed the responses to each of the questions in this PIA. I am responsible for funding and procuring, developing, and integrating privacy and security controls into the project. I understand that integrating privacy and security considerations into the project may affect the development time and cost of this project and must be planned for accordingly. I will ensure that VA privacy and information security policies, guidelines, and procedures are followed in the development, integration, and, if applicable, the operation and maintenance of this application.		
YES		
13.2) Project Manager/Owner Name and Date (mm/dd/yyyy)		
Michael Lay, 12-12-2007		
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)		

		SECTION INCOMPLETE
	YES	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

Section 13 Review:		
		PRIVACY SERVICE SECTION REVIEW AND APPROVAL
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	YES	The Privacy Service has reviewed and approved the responses in this section.

**	NOTE:	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		Section Review Date

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Alison Faulk, Privacy Officer, 804-675-5265